



08-10-00

Section 7

PTO/SB/17 (12/99)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$)

866

Complete if Known

Application Number	09/540,601
Filing Date	March 31, 2000
First Named Inventor	Borchew et al.
Examiner Name	Unassigned
Group / Art Unit	2768
Attorney Docket No.	35103-018

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																							
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number 13-0206</p> <p>Deposit Account Name McDermott, Will & Emery</p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p>				<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205 65 Surcharge - late filing fee or oath</td><td>130</td></tr> <tr><td>127</td><td>50</td><td>227 25 Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>139 130 Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147 2,520 For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112 920* Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113 1,840* Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215 55 Extension for reply within first month</td><td>55</td></tr> <tr><td>116</td><td>380</td><td>216 190 Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217 435 Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218 680 Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228 925 Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219 150 Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220 150 Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221 130 Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138 1,510 Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240 55 Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241 605 Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242 605 Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243 215 Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244 290 Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122 130 Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123 50 Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126 240 Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581 40 Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>690</td><td>246 345 Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>690</td><td>249 345 For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr> <td colspan="4">Reduced by Basic Filing Fee Paid</td> <td colspan="4">SUBTOTAL (3) (\$)</td> </tr> <tr> <td colspan="4"></td> <td colspan="4">866</td> </tr> </tbody> </table>				Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105	130	205 65 Surcharge - late filing fee or oath	130	127	50	227 25 Surcharge - late provisional filing fee or cover sheet.		139	130	139 130 Non-English specification		147	2,520	147 2,520 For filing a request for reexamination		112	920*	112 920* Requesting publication of SIR prior to Examiner action		113	1,840*	113 1,840* Requesting publication of SIR after Examiner action		115	110	215 55 Extension for reply within first month	55	116	380	216 190 Extension for reply within second month		117	870	217 435 Extension for reply within third month		118	1,360	218 680 Extension for reply within fourth month		128	1,850	228 925 Extension for reply within fifth month		119	300	219 150 Notice of Appeal		120	300	220 150 Filing a brief in support of an appeal		121	260	221 130 Request for oral hearing		138	1,510	138 1,510 Petition to institute a public use proceeding		140	110	240 55 Petition to revive - unavoidable		141	1,210	241 605 Petition to revive - unintentional		142	1,210	242 605 Utility issue fee (or reissue)		143	430	243 215 Design issue fee		144	580	244 290 Plant issue fee		122	130	122 130 Petitions to the Commissioner		123	50	123 50 Petitions related to provisional applications		126	240	126 240 Submission of Information Disclosure Stmt		581	40	581 40 Recording each patent assignment per property (times number of properties)		146	690	246 345 Filing a submission after final rejection (37 CFR § 1.129(a))		149	690	249 345 For each additional invention to be examined (37 CFR § 1.129(b))		Other fee (specify) _____				Other fee (specify) _____				Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$)								866			
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SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Tracey R. Thomas	Registration No. (Attorney/Agent)	38,633	Telephone 312/372-2000
Signature	<i>Tracey R. Thomas</i>		Date	8/9/00

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

FORMALITIES LETTER

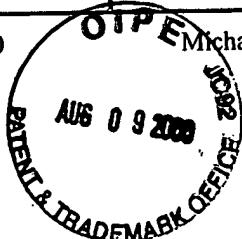


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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/540,601	03/31/2000	Michael Borchew	35103-018

Tracy R Thomas
McDermott Will & Emery
227 West Monroe Street
Chicago, IL 60606



Date Mailed: 06/05/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$672.
 - \$360 for 20 total claims over 20.
 - \$312 for 4 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1492.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/11/2000 CVDRACHA 0000048 130206 09540601

01 FC:201	345.00 CH
02 FC:203	180.00 CH
03 FC:202	156.00 CH
04 FC:205	65.00 CH



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of Borchew et al.

Serial No. 09/540,601

Filed: March 31, 2000

Title: Virtual Trading Floor System

Examiner: Unassigned

Group Art Unit: 2768

) Certificate of Mailing by Express Mail

I, hereby certify that this correspondence (along with any documents referred to as attached or enclosed) is being deposited with the US Postal Service as express mail (Express Mail Label EL059163410US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on August 9, 2000.

Jeanette Pritchett
Jeanette Pritchett
08/09/2000
Date

FILING RECEIPT CORRECTION

**Assistant Commissioner for Patents
Washington, D.C. 20231**

Dear Sir:

The residence of inventor Eric Hauk is 21053 North Crestview Drive, Barrington, Illinois 60010. The residence of inventor Michael Borchew is 2685 Edgewood Lane, River Woods, Illinois 60015.

Date: August 9, 2000

Respectfully submitted,

McDERMOTT, WILL & EMERY
227 West Monroe Street
Chicago, Illinois 60606-5096
tel.: (312) 372-2000
fax.: (312) 984-7700

McDERMOTT, WILL & EMERY

Tracey R. Thomas
Tracey R. Thomas, Reg. No. 38,633
One of the Attorneys for Applicant

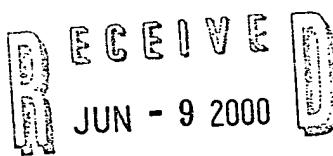
FILING RECEIPT



OC00000005155561
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/540,601	03/31/2000	2768	0	35103-018	9	40	7

Tracy R Thomas
McDermott Will & Emery
227 West Monroe Street
Chicago, IL 60606



Date Mailed: 06/05/2000

MW&E

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Michael Borchew, Residence Not Provided;
Eric Hauk, Residence Not Provided;

2685 EDGEWOOD LANE
RIVERWOODS, ILLINOIS 60015

Continuing Data as Claimed by Applicant

21053 NORTH CRESTVIEW DRIVE
BARRINGTON, ILLINOIS 60010

Foreign Applications

If Required, Foreign Filing License Granted 06/02/2000

Title

Virtual trading floor system

Preliminary Class

705

Data entry by : HARDY, EUGENIA

Team : OIPE

Date: 06/05/2000

